

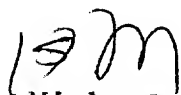
DDA Registry

Personnel 11

Director of Personnel
5E 58 Hqs

Fred:

Why don't we start something like
this now if we agree with it, as opposed to
a later date?



Michael J. Malanick

Att: DDA 76-5158

Associate Deputy Director for
Administration, 7D 24 Hqs, 18 Oct 76

STATINTL

ADDA:MJMalanick:kmg (18 Oct 76)

Distribution:

- Orig RS - D/Pers w/cy of Att
- ~~1~~ - DDA Subject w/cy of Att
- 1 - DDA Chrono
- 1 - MJM Chrono

Att: M Ltr dtd 15 Oct 76 to Mr. Joseph W. Lowell, Jr. of CSC fr D/Pers,
re FPM Letter 713 - Evaluating Supervisory EEO Performance

15 OCT 76

Mr. Joseph W. Lowell, Jr.
Assistant Executive Director
U.S. Civil Service Commission
Washington, D.C. 20415

Dear Mr. Lowell:

As requested in the transmittal letter of 16 August 1976, the draft FPM Letter 713 - Evaluating Supervisory EEO Performance, has been reviewed by concerned Agency officers, including EEO officials. We find the material pertinent and the checklist particularly helpful for the evaluation of supervisory managerial skills in relation to EEO performance. The proposed procedures, while not all applicable in the personnel management system which functions in this Agency, can be adapted to insure the major emphasis is identified and evaluated.

The first phrase of paragraph A7 of the Guidelines for Managers may be too generally stated. To avoid misinterpretation of the scope of the "subordinate" participation, we recommend inserting a qualifying term to identify the subordinate as a supervisory official concerned with the EEO complaint in question. As the item now reads, it could be taken to mean that all subordinates of the manager being evaluated should participate in all EEO complaint process, which we believe is not the intent.

Sincerely,

(Signed) F. W. M. Janney
F. W. M. Janney
Director of Personnel

Distribution:

Orig - Adse
1 - DD/A
1 - D/EEO
1 - D/Pers
1 - OP/Review Staff

STATINTL

OP/P&C/RS [] (14 Oct 76)

WASHINGTON, D.C. 20415

AUG 16 1976

YOUR REFERENCE

To: Directors of Personnel
From: Raymond Jacobson
Executive Director
Subject: Draft FPM Letter 713- : Evaluating Supervisory EEO
Performance

Rec'd 10/13 - 1700 hr.
715

Attached is a draft Federal Personnel Manual Letter, with appendix, to provide further instructions and guidance on meeting the requirement for evaluation of supervisors' performance in furthering equal employment opportunity (EEO). We invite your review and comments on this material.

Presently, the requirement to evaluate supervisory EEO performance is included (1) as part of the EEO affirmative action program structure, based on requirements of Executive Order 11478 and the EEO Act of 1972; (2) in FPM Chapter 430 (note: a draft revision of this chapter was distributed on July 1, 1976, for comment by agencies subject to the Performance Rating Act of 1950 and other appropriate organizations, and reflects coordination with the subject draft); (3) on the agenda used by the Civil Service Commission for onsite evaluations of agency personnel management and EEO programs; and (4) as an EEO program assessment item under the Commission's Guidelines for Agency Internal Evaluation of Equal Employment Opportunity Programs (PM Series No. 24). However, the coverage is very brief in each instance, and our various review experiences as well as comments and questions received from agencies indicate a clear need for further guidance with regard to the requirement. This draft represents an effort to meet this need. It also reflects our consideration of agency comments we have solicited in the past on this subject.

The draft focuses on (1) the supervisor's accountability for EEO; (2) the need for accountability and evaluation to be results-oriented; and (3) the systematic relationship among (a) supervisory EEO performance evaluation, (b) personnel management and EEO program evaluation, and (c) EEO action plan development and implementation. We have tried to delineate a few fundamental requisites and then to suggest some approaches for agencies to consider as they integrate this particular requirement into their broader evaluation and rating systems.

The Commission's Director, Office of Federal Equal Employment Opportunity, is sending an information copy of this memorandum and the draft to agency directors of equal employment opportunity. We ask that your comments reflect appropriate consultations within your agency, including consultation with EEO officials. Comments will be particularly helpful if geared to (1) general views, including an overall reaction as to whether the issuance has fundamental usefulness, and (2) specific suggestions for changes or additions, including proposed language substitutions wherever appropriate.

Comments and suggestions may be addressed to Mr. Joseph W. Lowell, Jr., Assistant Executive Director, U.S. Civil Service Commission, Washington, D.C. 20415, and should reach his office by October 15, 1976.

For your information, we have also invited comments and suggestions from the National Association of Supervisors and the National Association of Postal Supervisors.

Attachment

SUBJECT: Evaluating Supervisory EEO Performance

Introduction

1. This Letter sets forth the basic applicability and requirements for evaluating a supervisor's or manager's performance in furthering equal employment opportunity (EEO), which will be incorporated into FPM Chapter 713.
2. Additional guidance on implementing these requirements is provided in the appendix to this Letter (Guidelines: Implementing Supervisory EEO Performance Evaluation Requirements), which will be issued as an appendix to FPM Chapter 713.
3. A planned revision of FPM Chapter 430 will provide for appropriate cross-referencing.

Scope of Coverage

1. These requirements are applicable to those agencies and units covered by the Equal Employment Opportunity Act of 1972 and section 15 of the Age Discrimination in Employment Act of 1967 (ADEA), as amended, in accordance with Part 713 of the Commission's regulations.
2. Within the above scope of coverage are some agencies and units not covered by Chapter 43 of Title 5, U.S. Code (Performance Rating Act of 1950) or other parts of Title 5. These organizations are not, however, removed from coverage of supervisory EEO performance evaluation requirements.

managerial under (a) the Commission's Supervisory Grade Evaluation Guide or (b) similar standards or classification systems where an agency is not covered by the Commission's occupational standards.

4. Agencies may limit or establish exceptions to these requirements when a supervisor's subordinates are not within the scope of coverage cited in paragraph 1 above (e.g., supervisors of aliens employed outside the limits of the United States or supervisors of non-civilian employees), or in other clearly unusual circumstances. However, agencies are not precluded from establishing appropriate evaluation procedures in such situations.

Principles and Requirements

1. Supervisors are responsible for and must be held accountable for furthering EEO as one of the critical requirements of supervisory positions.
2. Supervisors' performance evaluations must include evaluation of their EEO performance.
3. The supervisor's accountability for EEO must be:
 - a. Made a part of the supervisor's ongoing duties and responsibilities;
 - b. Reinforced, where feasible by the identification of any specific actions expected of the supervisor during the particular evaluation/rating period;
 - c. Known by the supervisory employee during the period for which he or she is being evaluated and rated.
4. An outstanding rating can be awarded only to a supervisor who demonstrates outstanding performance in the EEO job, including efforts to further EEO. (See Attachment 4 to Appendix for

5. Unsatisfactory EEO performance is a basis for corrective or disciplinary action and may be a basis for rating a supervisor unsatisfactory.
6. Honorary recognition for EEO achievements does not have to be premised in a performance rating context; however, such recognition can be a natural byproduct of an outstanding supervisory performance rating or outstanding EEO element rating.

Implementation. It should be clearly understood that the implementation of this Letter is intended to occur within the framework of each agency's ongoing performance evaluation mechanisms. The Appendix to this Letter contains general guidelines and some approaches agencies might adapt to their own performance evaluation systems.

Attachment

Approved For Release 2002/05/07 : CIA-RDP79-00498A000500080007-1

GUIDELINES: IMPLEMENTING SUPERVISORY EEO PERFORMANCE EVALUATION REQUIREMENTS

Foreword: In March 1975, the President stated with regard to Federal managers: "Equal employment opportunity doesn't just happen; it comes about because managers make it happen ... Increased accountability on the part of Federal managers will help to promptly identify deficiencies and strengthen our EEO program at all levels ... Their understanding of my objective is essential. Their support is required."

With a clear focus on accountability, the President thus underscored the need for increased attention to the evaluation of supervisory performance in support of equal employment opportunity (EEO).

A. The Evaluator. Clearly, a critical factor is the evaluator's understanding of applicable guidelines and of the agency's requirements and procedures for evaluating supervisory performance including EEO performance. Agencies should therefore take specific steps to assure that all persons who evaluate supervisors fully understand what is required and expected of them, and that they receive instruction on how to carry out their responsibilities in this regard. Such steps might include (1) coverage of evaluation of supervisors in appropriate ongoing orientation and training programs for managers and supervisors; (2) development and dissemination of written guidance materials; (3) provision of opportunity for discussion and exchange of ideas among evaluators and personnel and EEO staffs; (4) inclusion of supervisory

Approved For Release 2002/05/07 : CIA-RDP79-00498A000500080007-1
EEO performance evaluations as an item in personnel management and EEO

Approved For Release 2002/05/07 : CIA-RDP79-00493A000500080007-1

The supervisor is frequently and properly identified as the individual who has the key role in making EEO work. Agencies need to assure that managers and supervisors recognize their responsibility for, and are involved in planning and carrying out agency EEO programs. Since agency programs are documented in written plans of action, one logical starting point is supervisors' participation in EEO action plan development.

Some agencies have in fact tied supervisory EEO performance evaluation directly to the EEO plan, with performance expectations built into specific action items. This is an existing, concrete mechanism for meaningful EEO involvement and affords a specific basis for evaluating the EEO aspects of supervisory performance. The Commission asks its personnel management evaluation staffs to answer such questions as the following when reporting onsite review findings: "Do managers (and supervisors) understand and support a positive EEO program?" "Is supervisory performance in EEO measured against specific responsibilities set forth in the affirmative action plan?" "Does the (agency internal) EEO evaluation system provide for input from managers, supervisors, employees, unions, and other interested groups?"

Attachment 1 to this Appendix provides a generalized conceptual illustration of the linkage among the factors of (1) supervisory EEO performance; (2) EEO action plans; and (3) personnel management and EEO program evaluation. Each of these three factors is concerned with an evaluation process which is EEO-results-oriented. All are or should be recognized as mutually interdependent elements of an effective EEO program. Regardless of whether specific timeframes and program origins vary, approved For Release 2002/05/07 : CIA-RDP79-00493A000500080007-1 at appropriate stages.

Approved For Release 2002/05/07 : CIA-RDP79-00498A000500080007-1
 C. Establishing What is Generally Expected of a Supervisor.

Supervisory responsibility for furthering EEO, while inherent, has to be specifically communicated to and understood by each supervisor, so that he or she is fully aware of what is expected. A statement of this responsibility should appear clearly in a written record, a copy of which is possessed by or readily available to the supervisor, and should be reinforced via periodic communications. Agencies typically use some combination of the following:

1. Statement incorporated in written delegation of authority.
2. Statement in position description.
3. Other written issuances (manuals, handbooks, memos to supervisors, published EEO plans, etc.)
4. Meetings.
5. Required EEO training.

D. Establishing What is Specifically Expected of a Supervisor. The supervisor's general accountability for furthering EEO should wherever possible be reduced to results-oriented specifics so as to facilitate action and evaluation in a preestablished timeframe. Documentation of what is specifically expected of each supervisor provides not only a meaningful basis for EEO performance evaluation but also guidance and support for supervisory EEO achievement.

Specific expectations might be delineated in action items, with target dates, in an organization's EEO plan, or in written performance standards or performance goals and objectives. A supervisor must, of course, have been clearly informed with regard to any specific matters

Approved For Release 2002/05/07 : CIA-RDP79-00498A000500080007-1
 for which he or she is to be held accountable in the performance

E. Evaluation and Rating EEO Performance. Evaluation obviously is more objective when associated with specific EEO performance

expectations that are stated in an action plan or otherwise documented. Evaluation and rating in the EEO area also must be considered as an integral part of the total supervisory performance assessment and not as an isolated consideration; therefore, the methods used by an agency must be coordinated with the overall performance evaluation system and rating methods used. In any event, methods or techniques used must give evidence that a substantive EEO performance assessment has been made, that it is understood by parties to the evaluation, and that follow-up action can be identified and initiated where appropriate.

Whether or not the evaluation is tied to an action plan, guides or criteria which aid this process are useful and should be developed to suit each agency's needs. Attachment 2 to this Appendix sets forth a comprehensive checklist of suggested factors to consider in formulating EEO performance expectations and assessing EEO performance. Attachment 3 to this Appendix suggests some of the basic sources of information an evaluator can consider as specific indicators of kinds and levels of EEO performance.

A rating may be based on appraisal elements, narrative comments which accompany evaluation documents, or other methods. However, some definitive criteria can be useful to help rate the level of the EEO performance element. Attachment 4 to this Appendix offers an example of definitions of Outstanding, Satisfactory, and Unsatisfactory EEO performance levels (this does not preclude an agency's use of additional levels as permitted under performance rating regulations).

F. Evaluating EEO Performance Realistically. Supervisory and managerial positions are widely varied in kind, extent, and structure of duties and responsibilities. Performance expectations therefore vary in scope and substance from one supervisory situation to another. Evaluations must be based on realistic expectations which were known to the individual being evaluated during the period covered in the evaluation, and not on criteria reflecting activities beyond the scope of a supervisor's responsibility, authority, or potential for action.

For example, if a supervisor is not authorized or expected to perform a recruiting function, his or her performance should not, of course, be evaluated as to EEO-related recruiting effectiveness. However, that supervisor might well have a meaningful role or responsibility in identifying skills requirements for subordinate jobs to be filled, interviewing candidates, recommending or making personnel selections, assimilating new employees into the work force, evaluating performance, preparing appraisals of potential for promotion, etc. Any of these responsibilities relate to the recruitment-placement function and

offer a variety of potential for EEO performance expectation and evaluation.

Responsibilities and actions of the supervisor impact on most if not all areas of personnel management and should be dealt with from the standpoint of both nondiscriminatory performance and affirmative action performance. In the most limited supervisory circumstance, nondiscriminatory performance may be the predominant factor for which realistic EEO performance expectations can exist. Relationships and cooperation with

Approved For Release 2002/05/07 : CIA-RDP79-00498A000500080007-1
and should receive EEO-related performance effectiveness consideration. Careful consideration of each supervisory job situation should readily produce a meaningful perspective on its potential for furthering EEO.

G. Nonsupervisory Positions. Nonsupervisory jobs which involve leadership relationships with other employees are not covered by the supervisory EEO performance evaluation requirement. However, it would be entirely proper to determine whether there is an EEO-related element which needs to be considered in evaluating employees in such positions.

H. Other Appraisals. Other personnel management activities involve various types of individual appraisals, such as in acceptable level of competence and competitive promotion considerations. FPM Chapter 430 provides guidance regarding performance evaluation as it relates to such appraisals. ILLEGIB

I. Frame of Reference. Following are major references which should be considered in implementing supervisory EEO performance evaluation requirements:

1. EEO Act of 1972.
2. ADEA of 1967, as amended in 1974.
3. Performance Rating Act of 1950 (Title 5, U.S. Code, Chapter 43).
4. Executive Order 11478.
5. President Gerald R. Ford's memorandum on equal employment opportunity, dated March 6, 1975.
6. Civil Service Regulations - Parts 430 and 713.
7. FPM Chapters 430 and 713.
8. CSC Personnel Management Series No. 24: Guidelines for Agency

Approved For Release 2002/05/07 : CIA-RDP79-00498A000500080007-1

II. FINDINGS

- ACHIEVEMENTS
IDENTIFICATION
- PROBLEMS
IDENTIFICATION

I. ASSESSMENT

- OF SUPERVISORY
PERFORMANCE
- OF ORGANIZATION
PERFORMANCE

III. ANALYSIS

- CAUSE OF ACHIEVEMENTS
AND OF PROBLEMS
- ACTION ALTERNATIVES

IV. DECISIONS

- NEW EEO PLAN
- PERFORMANCE EVALUATION
- OTHER PERSONNEL MGMT. DECISION

V. ACTIONS

- BEGIN
NEW
ACTION
PLAN
- ISSUE
PERFORMANCE
RATING
- USE
RECOGNITION
SYSTEM
- TAKE
CORRECTIVE
PERSONNEL
ACTION
- SHARE
RESULTS

Approved For Release 2002/05/07 : CIA-RDP79-00498A000500080007-1

CHECKLIST OF EEO PERFORMANCE FACTORS
Approved For Release 2002/05/07 : CIA-RDP79-00498A000500080007-1

The following suggested factors may be considered in establishing performance requirements, and in evaluating and rating managers and supervisors concerning their responsibility for furthering equal employment opportunity. The list of factors is divided into two segments--one for evaluating line supervisors, the other for evaluating managers. Factors from each segment may be applicable in some situations; it is not likely that all factors in each segment will be applicable to all managers and supervisors covered. The evaluator must determine what specific factors apply to the manager or supervisor being evaluated and rated, and that performance expectations with regard to these factors were known to the manager or supervisor during the period covered by the evaluation.

LINE SUPERVISORS

A. Personal Participation in EEO Program Leadership and Administration.

Does the supervisor:

- APP
1. Have awareness of the composition of the subordinate work force in terms of race, sex, grade, etc.? Know how his or her work force compares to other organizations of the activity and to any established goals and timetables?
 2. Provide input for local EEO plans of action?
 3. Keep superiors informed of needs related to EEO?
 4. Keep subordinates informed on all matters that have EEO implications (upward mobility, training opportunities, vacancy announcements, EEO action plans, etc.)?

and counselors? Coordinate actions that have EEO implications with them and with superiors?

6. Include EEO as an integral part of day-to-day personnel management?
7. Participate in an affirmative manner in resolving EEO complaints?

B. Treatment of Employees as Individuals. Does the supervisor:

1. Consider all subordinates as individuals rather than stereotypes?
Try to be impartial in dealings with all employees?

2. Make an effort to understand cultural differences among subordinates? Make an effort to understand any particular adjustment problems of minority group and female employees?
Take positive steps to assure acceptance of new employees in the work group, and vice-versa; and set a personal example?

3. Try to avoid and eliminate practices which may give personal offense to employees of one sex or any particular racial,

ethnic origin, religious or age group?

C. Selection, Work Assignments, and Promotion. Does the supervisor:

1. Give full and fair consideration to all applicants--regardless of race, color, religion, sex, age, or national origin--in recommending selections to fill vacancies?
2. Support the personnel office in locating qualified candidates for vacancies? If minority or women candidates are rarely or

Panel 19

be made to locate well qualified minority group and women applicants?

3. Provide competitive or noncompetitive work experiences and opportunities such as new work assignments, special projects, temporary details, or other job-related experiences on an equitable basis?
4. Assure that the basis and timing of career (noncompetitive) promotions are equitable for all employees?

D. Skills Utilization, Training, and Upward Mobility. Does the supervisor:

1. Provide training opportunities for all employees on a non-discriminatory basis? Make training, upward mobility, and other developmental selections or recommendations equitably?
2. Restructure positions and/or identify target jobs to meet the needs of the unit(s) and to implement the upward mobility program within the organization? Complement this effort with necessary training or development and counseling of upward mobility job incumbents?
3. Identify employees with underutilized skills for possible placement in positions where their skills can be used?
4. Coordinate with superiors, other supervisors, and personnel and EEO officials to provide for skills utilization, training, and upward mobility opportunities?
5. Encourage and counsel all employees to take advantage of such

E. Recognition. Does the supervisor:
Approved For Release 2002/05/07 : CIA-RDP79-00498A000500080007-1

1. Provide all employees appropriate recognition and awards, including informal recognition?
2. Analyze causes and take appropriate corrective action if particular segments of the work force consistently fail to receive recognition or awards?

F. Discipline. Does the supervisor:

1. Apply equal penalties for equal offenses?
2. Analyze causes and take appropriate corrective action if disciplinary actions consistently apply to particular segments of the work force?

MANAGERS

A. Personal Participation in EEO Program Leadership and Administration.

Does the manager:

1. Individually endorse top management's policy statements on equal employment opportunity and call for endorsement down through the organizational structure to line supervisors.

*Group meetings
staff meetings*

Personally advise subordinates of his or her expectations for affirmative action?

2. See that adequate resources are available to support EEO program requirements?
3. Take an active role in the development and implementation of the organization's or installation's EEO program and its EEO

action plan? Require that appropriate program review, analysis and evaluation be conducted? Participate in and direct corrective action for program improvement?

4. Require subordinate managers and supervisors to participate actively in the development and implementation of action plans?

5. Keep subordinates informed of factors which may have an impact on the EEO program? Keep them informed of program policies, requirements, and status?

6. Coordinate actions that have EEO implications with superiors, peers, EEO and personnel officials, and other appropriate staff officials?

It may be that subordinates should not be aware of these.. 7. Participate, and require subordinates to participate, in an affirmative manner, in resolving formal and informal EEO complaints? Require that causes be corrected?

8. Assure full integration of the EEO program with the personnel management program of the organization? Assure that EEO is an integral part of each subordinate manager's and supervisor's job and that performance is evaluated effectively?

9. Set an effective example in his or her own work relationships with employees regardless of race, color, religion, sex, age, or national origin?

B. Treatment of Employees. Does the manager:

1. Set the pace in assuring equal treatment of all employees in the organization? Treat all subordinates as individuals?

Provide for reasonable personal access to all employees who cannot resolve issues with their immediate supervisors?

2. Assure that subordinate managers and supervisors have the training and understanding needed to deal effectively with male and female employees of various backgrounds and cultural differences?
3. Require subordinate managers and supervisors to take necessary steps to assure that all employees, including minority group and women employees, are properly integrated into the work force?
4. Require continuing review of management practices with a view toward eliminating and preventing any practices which may discriminate against or give personal offense to employees of one sex or any particular racial, ethnic origin, religious, or age group?
5. Require that the cause of complaints be determined, and corrected when an employee has a justified complaint?

C. Selection, Work Assignments, and Promotion. Does the manager:

- APR 1970
1. Maintain an ongoing review of the selection and promotion patterns in the organization to assure that all applicants and employees--regardless of race, color, religion, sex, age, or national origin--are given full consideration?
 2. Set an effective example as an equal opportunity employer in the selection, work assignments, and career and competitive promotion of managers, supervisors, and employees who report to the manager?

3. Assure, as evidenced by actions and records, that affirmative

EEO efforts are made in all appropriate aspects of staffing
(e.g., recruitment activities, hires and promotions)?

D. Skills Utilization, Training, and Upward Mobility. Does the
manager:

1. Assure that all employees are provided equal opportunity for training and self-development? That the patterns of training, upward mobility, and other developmental selections fully reflect equal opportunity?
2. Carry out an effective upward mobility program which includes all necessary components of such a program (job-restructuring where appropriate, identification of target positions for upward mobility participants, competitive selections of candidates for upward mobility assignments, training and counseling, reassignment and promotion actions, etc.)?
3. Ascertain that employees with underutilized skills have been identified for possible placement in positions where their skills can be used and that they receive full consideration for reassignment and/or promotion to appropriate vacancies?
4. Coordinate with other managers, and with personnel and EEO officials to provide skills utilization, training, and upward mobility opportunities across organizational lines?

E. Recognition. Does the manager:

1. Assure that employees are being appropriately recognized and awarded? Assure recognition and awards patterns in the

organization reflect appropriate treatment for all employees?

Assure that causes are identified and any necessary corrective action is taken if particular segments of the work force are not fairly treated with regard to recognition and awards?

2. Personally participate in and publicize as appropriate awards ceremonies involving recognition for outstanding achievement on the part of supervisors and employees from all segments of the work force?
3. Support and carry out provisions for recognition of achievements in furthering EEO?

F. Discipline. Does the manager:

1. Assure that equal penalties for equal offenses are applied within the organization?
2. Assure that causes are identified and any necessary corrective action is taken if particular segments of the work force receive more than a proportionate amount of disciplinary actions?
3. Take or require appropriate corrective action, including disciplinary action where appropriate, for any situation in which a subordinate manager, supervisor, or employee violates EEO policies and requirements.

Approved For Release 2002/05/07 : CIA-RDP79-00498A000500080007-1

INFORMATION SOURCES FOR EEO PERFORMANCE EVALUATION

Supervisory EEO performance evaluation requires a basis in facts or evidences which reinforce an evaluator's personal assessments. Are there clear indicators, for example, that the supervisor is fair and effective in his or her EEO-related practices? What were the EEO achievements of the supervisor or manager during the performance rating period; what could or should his/her achievements have been? Is there any evidence or appearance of discrimination in the supervisor's performance? Is there evidence that the supervisor has taken special initiatives resulting in noteworthy EEO-related achievements? At least some of the answers to such questions are available in concrete form. Sources for measuring a supervisor's EEO performance should be reviewed in terms of patterns of performance which emerge from actions and records-- collective results, problems, and accomplishments. The following are sources which can assist the evaluator in reviewing and measuring the kind and level of a supervisor's EEO performance. Look at each source as a system; identify for that system what is happening to members of the supervisor's work force as a whole and in terms of race or ethnic origin, age, and sex groupings; determine whether any form of improperly disparate treatment exists.

Performance AreaInformation Sources

Actions
Affecting
Employees

Temporary details and temporary promotions
Special assignments
Length of wait for career promotion
Selections (appointment, reassignment, promotion)
Upward Mobility actions
Training/development selections or assignments
Position management actions (organizing work; assigning duties to positions)

Approved For Release 2002/05/07 : CIA-RDP79-00498A000500080007-1

Treatment
of
Employees

Promotion appraisals
Performance ratings
Level of competence determinations
Overseas assignments, scheduling
Individual employee training/development plans
Disciplinary actions; warnings
Award: commendations
New-employee followup reports
Exit interview statements
Production, leave, turnover rates

EEO
Program
Management

(and any aspect of
EEO performance)

Work force composition statistics
Communications, e.g.:
- Minutes or other record of staff meetings held
- Internal issuances & information routings
- Information postings, where appropriate
EEO complaints, including reprisal allegations
Grievances; appeals
EEO third-party and/or union complaints
Personnel mgmt., and EEO evaluation reports
Position mgmt., classification, utilization reports
Information from EEO officials who have work
contacts with the supervisor and staff
responsibilities for the organization in which
the supervisor's unit is located
EEO action plan:
- supervisor's individual plan and/or
- portion(s) of an EEO action plan applicable
to the supervisor's unit(s)

DEFINITIONS OF PERFORMANCE
SUPERVISORY EEO PERFORMANCE (Example)

In this example, two performance areas are covered in the definitions and are as follows:

"Fundamental EEO requirements" - Those relating to actions and work relationships which carry out the prohibitions against discrimination on account of race, color, religion, sex, national origin, or age; and which support the basic principles of equality of opportunity and fairness for employees and applicants.

"Affirmative action objectives" - EEO supervisory performance expectations established through affirmative action or EEO plans, performance goals, or other methods which establish achievement plans for a specified period.

The supervisory EEO performance evaluation is one facet of the overall evaluation and becomes part of the basis for the overall summary adjective rating. The example of three performance level definitions presented here is for consideration only in evaluating the supervisory EEO performance element.

SATISFACTORY - Fulfilled fundamental EEO requirements and affirmative action objectives. A satisfactory performance level means that the supervisor carried out EEO responsibilities in a fully adequate manner. (If a supervisor's performance is determined to be "marginally" satisfactory in the EEO area of responsibility, performance counseling is essential).

OUTSTANDING - Demonstrably exceeded fundamental EEO requirements and/or affirmative action objectives to a degree worthy of commendation.

Personal initiatives resulted in achievements such as:

- Substantially improved levels of motivation and/or productivity directly attributable to concern for and fair treatment of all employees, including minorities, women, and older workers.
- New or "breakthrough" employment opportunities through job redesign, upward mobility, and/or skills utilization actions.
- Sensitive, effective resolution of particularly difficult EEO-related employee relations problems.

(Further guidance on exceptional EEO performance is available in FPM Chapter 713, Subchapter 5, Honorary Recognition for Achievements in EEO).

UNSATISFACTORY - Did not fulfill fundamental EEO requirements and/or a minimum of affirmative action objectives, and did not respond constructively to performance counseling or other corrective action

efforts. Examples:

- Disregarded EEO principles in supervisory practices or actions.
- Conveyed to subordinates a negative or nonsupportive attitude toward EEO.
- Failed to make reasonable efforts to meet affirmative action objectives which were established for the period under review.

In each case, an evaluation must be based on what can reasonably and realistically be expected of the supervisor during the period covered by the evaluation. For example, a rating of "outstanding" is not

precluded simply because circumstances beyond a supervisor's control severely restrict his or her ability to demonstrate noteworthy accomplishment in the area of equal employment opportunity. In such circumstances, a supervisor's performance with regard to EEO could merit an "outstanding" rating based on attitudes, efforts, and support for the EEO program which demonstrably exceed normal expectations.